

## EXHIBIT 4

# **SBC Competitive Local Exchange Carrier (CLEC)**

## **Interface Change Management Process**

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Exhibit 4

# Interface Change Management Process: SBC and Competitive Local Exchange Carrier (CLEC)

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## **1.0 Purpose**

This document contains the standards for the Change Management Process ("CMP") by which SBC Communications (herein after referred to as "SBC", consisting of Ameritech, Nevada Bell, Pacific Bell, Southwestern Bell Telephone, and Southern New England Telephone) will notify Competitive Local Exchange Carriers ("CLECs") of changes to the Operational Support Systems ("OSS") interfaces, introduction of new interfaces and retirement of interfaces detailed below and provides for the identification and resolution of CLEC issues associated with the CMP. CLECs are defined as the Competitive Local Exchange Carriers, their authorized representatives, or their agents (hereby referred to as "CLECs"). The CMP is intended to establish a structural means by which (1) CLECs may propose changes to the OSS interfaces and (2) SBC will notify CLECs of changes to be made to the OSS interfaces. The parties intend for the CMP to be dynamic in nature, managed through regularly scheduled meetings (at a minimum of once a quarter) and based on group consensus. This document may be revised as business and/or regulatory conditions dictate and any agreed-upon modifications to the process will be included in this document as described in Section 8.4. New CMP Business items are located in Section 9.0.

### **1.1 Implementation of this 13-State Change Management Process**

Upon the effective date of this document, this Change Management process will be followed in all SBC regions unless specific processes are addressed in the Transition Plan. The Transition Plan is included as Appendix I of this document.

## **2.0 Scope**

**2.1** This process pertains to all pre-ordering, ordering, provisioning, and maintenance electronic interfaces, specific to CLEC end-user's local services ordering only, including, but not limited to, SBC's Application to Application Interfaces and Graphical User Interfaces ("GUI"), as listed in Appendix A of this document.

SBC will continue to develop its interfaces according to industry guidelines (as discussed in Section 3.3.1 of this document) for wholesale customers to order and maintain Local Services. As industry guidelines evolve, SBC will use the CMP and discussions at the CMP meetings to review the guidelines and determine appropriate implementation choices.

**2.2** This document applies to SBC and all CLECs operating in Arkansas, California, Connecticut, Illinois, Indiana, Kansas, Michigan, Missouri, Nevada, Ohio, Oklahoma, Texas and Wisconsin.

### **2.3 User Forum Meetings**

The following list of items will be addressed in the regional CLEC User Forums using documented processes developed by User Forum participants in each region. The process by which the CLEC User Forum will operate is documented in the CLEC User Forum Guidelines document (see Appendix K) located on SBC's CLECs web site. Issues may be initiated by either SBC or by CLEC participants.

**2.3.1** The assumption used while developing this CMP is that the following issues will be dealt with in regional CLEC User Forums. If this assumption proves incorrect, these items can be brought back and dealt with in Change Management and/or worked through the appropriate Account Manager.

- Manual Processes
- Manual Forms
- Business Processes
- Methods & Procedures (except as necessary related to release walk-through)

**2.3.2** The appropriate Regional CLEC forums will address Non-OSS impacting business process/operational issues not addressed in this CMP.

**2.3.3** If a CLEC is unsure of the appropriate forum to which an issue should be submitted, the CLEC can contact its Account Manager for direction or can bring the issue to a Change Management meeting or User Forum meeting to discuss the proper forum in which the issue can be worked to resolution.

### **2.3.4 Transfer Between Forums**

Issues covered in one forum that are transferred to another forum will be fully documented in both forums at the time of transfer and appropriate notification will be distributed, as necessary. If any issue is referred to the Change Management group or a User Forum from another meeting, the CLEC community will be notified of the need for this issue to be addressed in the appropriate forum. All parties will make every effort to insure that issues addressed in other meetings or forums are communicated to the appropriate CMP or User Forum.

## **3.0 Changes to Existing Interfaces**

### **3.1 Types of Changes To Existing Interfaces**

The CMP manages changes to OSS interfaces that affect CLECs' production or test environments. Such changes may encompass:

#### **3.1.1 Operations Changes**

Operations Changes are changes to existing functionality that impact the CLEC interface(s) upon SBC's release date for new interface software. For example:

- adding/deleting/modifying fields required to access a function
- changing the flow, or sequence, of interface operation
- adding an edit to ensure a required field is entered

#### **3.1.2 Technology Changes**

Technology Changes are changes that require CLECs to meet new technical requirements upon SBC's release date. For example:

- eliminating a previously supported operating system software (e.g., Microsoft™ Windows™ 3.0), hardware or protocol
- requiring a new software, hardware (e.g., 8Mb RAM), or protocol

#### **3.1.3 Additional Functionality**

Changes to add Additional Functionality are changes that may be used at the CLEC's option, on or after SBC's release date for new interface software. For example:

- adding a new field to access a new function, without other impacts
- allowance for additional entries into existing fields
- adding a new supported software, hardware or protocol

#### **3.1.4 Regulatory Mandates**

Regulatory Mandated changes are those changes that may be mandated by regulatory bodies, as discussed in Section 6.3.2.4 of this document.

#### **3.1.5 Changes to Hours of OSS Interface Availability**

SBC will notify CLECs in advance of any changes to posted hours of OSS interface availability via Accessible Letter. Any changes to posted hours that



decrease the availability of systems used by CLECs for ordering and pre-ordering will be governed by Category One (1) processes defined in this CMP which includes timetables, comments and replies and OIS voting capability.

### **3.1.6 Changes of OSS Connectivity**

Changes to OSS Connectivity (e.g. IP address, LRAF, etc.) will be governed by this CMP. Notification of such changes will be provided via an Accessible Letter no less than 60 days prior to the proposed change.

### **3.1.7 Process Improvement Changes (Appendix L)**

Initial Requirements for "process improvement" changes to the Gateway interfaces can be released no later than 80 days prior to the regularly scheduled release date. CLEC comments are due by day 73 prior to implementation of the release. SBC has six (6) calendar days for response followed by the issuance of Final Requirements no later than 67 days prior to the regularly scheduled release date.

## **3.2 Categories of Changes To Existing Interfaces**

This process divides changes into two categories:

### **3.2.1 Category One (Gateway)**

Category One (Gateway) changes include changes to gateway applications, such as Electronic Data Interchange ("EDI") Ordering, EDI/Common Object Request Broker Architecture ("CORBA") Electronic Bonding Trouble Administration (EBTA) and DataGate Pre-Ordering. Any LSR changes to the Local Service Request (LSR) Exchange system (LEX) will also fall into this category. Changes to the ordering of local loops that drive changes to the ordering of local loops via the Access Service Request (ASR) in the Ameritech region will be covered under Category One of this CMP until such time as loop ordering via the ASR is retired following CMP retirement guidelines. (See Attachment I, Transition Plan).

### **3.2.2 Category Two (GUI)**

Category Two (GUI) changes are solely for changes to GUIs where the change is specific to a GUI (e.g., enhancements to the print capability in LEX).

## **3.3 Category One (Gateway) Change Process (Appendix B)**

### **3.3.1 Industry Guidelines**

For Gateway interfaces based on industry guidelines, the parties agree that the guidelines developed at the industry forums i.e., Alliance for Telecommunications Industry Solutions ("ATIS"), Ordering and Billing Forum ("OBF") will be the basis for managing change. SBC anticipates using applicable OBF Guidelines; however the needs and constraints of SBC's legacy systems may limit use of all such Guidelines; SBC will identify any proposed variances from OBF Guidelines.<sup>1</sup> SBC will provide technical EDI specifications as part of the requirements definition in accordance with the format that has been jointly agreed to by the SBC and CLEC communities per the Documentation Forum. Therefore, as the industry guideline e.g., Local Service Ordering Guidelines ("LSOG") requirements are being determined at OBF, SBC will review the requirements to determine compatibility with SBC's systems. There may be other changes initiated by SBC to gateway interfaces that are not a result of ATIS/OBF change drivers (e.g., changes to enhance order flow-through). SBC will also consider changes recommended by CLECs through the Change Request Process (see Section 8.3).

### **3.3.2 12-Month Development View**

Regardless of the change driver, SBC will prepare a preliminary package of the required changes and share these plans at a scheduled Change Management meeting nine (9) to twelve (12) months in advance of the target implementation date. SBC will share its plans as part of its 12-Month Development View on a quarterly basis or more often as necessary (see Section 8). POR Enhancements will be included in the 12-Month Development View and will be flagged as POR items.

### **3.3.3 Category One Release Announcement**

SBC will provide a Release Announcement delivered to CLECs via an email Accessible Letter.

#### **3.3.3.1 Content of Category One Release Announcement**

The release announcement will contain:

- A written summary of the change(s) in plain English
- A target timeframe for implementation

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<sup>1</sup> This is in accordance with General Section 1.0, paragraph 1.4 of the practices in the OBF Local Service Ordering Guidelines (LSOG), which states that "Options described in this practice may not be applicable to individual provider's tariffs; therefore, use of either the field or valid entries within the field is based on the provider's tariffs/practices".

- Any cross reference to industry documentation
- Any known exceptions to industry guidelines

### **3.3.3.2 CLEC Comments on Release Announcement**

If a CLEC identifies issues or requires clarification, the CLEC must send a written response (via email, fax or regular mail) to the SBC Change Management Point of Contact ("CMPOC", defined in Section 8.1) and the CLEC's Account Manager. The CLEC response will specify the CLEC's questions, issues and any alternative recommendations for implementation. The CLEC response must be received by the SBC CMPOC and CLEC Account Manager in writing no later than the 7th calendar day following the date of the Release Announcement.<sup>2</sup>

### **3.3.3.3 SBC Response to Comments**

SBC will review all CLEC responses. Within seven (7) calendar days of the end of the time period specified in Step 3.3.3.2 (14th calendar day following the date of the Release Announcement), SBC will provide written answers to CLEC questions via Accessible Letter. SBC's answers will be shared with all CLECs, unless any questions were specifically identified as "private" by any CLEC.

### **3.3.4 Industry Guideline Changes**

If SBC announces any changes before applicable guidelines are finalized at the ATIS/OBF industry forums, SBC will review the final guidelines when they are issued for any alterations that may be necessary for compliance with the finalized requirements and will work these changes within the standards of this CMP. SBC will review the SBC system requirements and provide known exceptions to industry guidelines.

### **3.3.5 Category One Initial Release Requirements**

No sooner than the last day of the period specified in Step 3.3.3.3, SBC will send the Initial Release Requirements to CLECs via another email Accessible Letter.

#### **3.3.5.1 Content of Category One Initial Release Requirements**

The Initial Release Requirements will contain:

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<sup>2</sup> In all cases, the date of any Accessible Letter referenced in this Agreement will be the date on which SBC emails the document to CLECs. Provided, however, that any Accessible Letter transmitted by e-mail after 4:00 PM Central Time shall be considered as transmitted the next business day. SBC will send the Accessible Letters to the Change Management Point(s) of Contact designated by the CLEC. It is each CLEC's responsibility to ensure that SBC has a current contact list.

- The planned implementation date
- Index of Changes
- Updated interface requirements (e.g., Local Service Ordering Requirements ("LSOR") changes)
- Exceptions to transaction sets or data models
- Industry cross reference
- Reporting impacts, (if any)
- The scheduled date of the Initial Walk-through
- Timeframes for CLEC joint testing.

**3.3.5.1.1** In setting the timeframes for CLEC joint testing, SBC will consider the scope of the release and potential impact on CLEC development efforts.

**3.3.5.1.2** Generally, SBC's planned implementation will fall within 152 to 172 calendar days from the date of the Initial Release Requirements.

### **3.3.5.2 Documentation Format and Content of Release Requirements**

In addition to the content listed above in 3.3.5.1, the following will be provided per agreements reached in the Documentation Forum:

- SBC release requirements will be in Word format.
- The LSOR/LSPOR will include EDI information
- Header, Detail or Sub-line will contain
  - Transaction Set position
  - EDI data element
  - EDI field name

SEF files/segment sequence charts by transaction type will be available on the web site

- Release documentation will include CLEC Handbook information.

**3.3.5.2.1** Release requirements documentation will be provided in a single document. Any changes to this documentation will require a complete refresh with modifications noted in the change log. Each update will be identified by a unique version number including the date issued.

**3.3.5.2.2** Each Release Requirements documentation will contain a summary explanation of the enhancements, where possible a reference to the CCR number will be included.

**3.3.5.2.3** The Release Requirements will include flow-through information if applicable.

**3.3.5.2.1** Release requirements documentation will be provided in a single document. Any changes to this documentation will require a complete refresh with modifications noted in the change log. Each update will be identified by a unique version number including the date issued.

**3.3.5.2.2** Each Release Requirements documentation will contain a summary explanation of the enhancements, where possible a reference to the CCR number will be included.

**3.3.5.2.3** The Release Requirements will include flow through information if applicable.

### **3.3.5.3 Category One Initial Release Requirements Walk-Through**

SBC will sponsor a walk-through for CLECs of the Initial Requirements with the appropriate internal subject matter experts (refer to Appendix J, Requirements Walk-Through Process). SBC will hold this walk-through between the 14<sup>th</sup> and 19<sup>th</sup> day of the CLEC comment cycle. If this walk-through is not scheduled during this time period, the comment cycle will be extended to compensate for the delay unless all parties agree that the extension is not necessary.

### **3.3.5.4 CLEC Comments on Initial Release Requirements**

CLECs will have at least three (3) business days following the walk through to submit comments.

### **3.3.5.5 SBC Response to CLEC Comments**

SBC will review all CLEC responses to the Initial Release Requirements no later than the 21<sup>st</sup> calendar day following the end of the period specified in Step 3.3.5.4 above. SBC will provide written answers to CLEC questions via an email Accessible Letter. SBC's answers will be shared with all CLECs, unless any questions were specifically identified as "private" by any CLEC. Any changes that may occur as a result of the answers will be distributed to all CLECs in the same Accessible Letter.

### **3.3.6 Category One Final Release Requirements**

The Accessible Letter resulting from Step 3.3.5.5 above will constitute the **Final Release Requirements**.

### **3.3.6.1 Content of Final Release Requirements**

In addition to the content listed in Section 3.3.5 above, the final release requirements will include:

- a summary of changes from Step 3.3.5.5 above (Revised Index of Changes)
- the implementation date of the new version of the release
- the sunset date of the old version
- reference to SBC's CLEC web site location where the detailed Final Release Requirements are stored.

### **3.3.6.2 Walk-through of Category One Final Release Requirements**

SBC will schedule a conference call or meeting, within three to five business days after distribution of the Final Requirements, to discuss any changes made to the Final Requirements.

### **3.3.6.3 Interval before Implementation of Release**

Generally, SBC's planned implementation will fall within 110 to 130 calendar days from the date of the Final Release Requirements. The implementation timeline for the release will not begin until all related documentation is provided.

### **3.3.6.4 Category One Final Release Requirements Outstanding Issue Solution (OIS)**

A CLEC may elect to initiate the (OIS) process described in Section 7 of this CMP related to the Final Release Requirements for Category One Changes.

#### **3.3.6.4.1 CLEC Initiation of Final Release Requirement OIS**

The CLEC must send a written notice (via email, fax or regular mail) to the SBC CMPOC and the CLEC's Account Manager, which must be received within seven (7) calendar days from the date of the Final Release Requirements.

#### **3.3.6.4.2 Final Release Requirements OIS Conference Call**

Upon receipt of a CLEC OIS notice relating to such Final Release Requirements, SBC will schedule an OIS conference call for 2:00 PM Central Time, seven (7) calendar days after the due date for the OIS notices (14 calendar days after the date of the Final Release Requirements). Additional procedures for an OIS related to such Final Release Requirements are as specified in Section 7.0 of this document.

### **3.3.7 Testing of Category One Releases**

If no Final Release Requirements OIS is initiated (or after successful conclusion of any such OIS), the established implementation time line will begin. Testing will be conducted, as defined in this section, by SBC and any interested CLEC. Testing will continue until the agreed upon testing exit criteria have been satisfied, in accordance with a negotiated joint release test plan, to the mutual satisfaction of the parties.

**3.3.7.1** SBC will make testing available in accordance with the timeframes specified in the Final Release Requirements. The available testing timeframe shall be no less than 30 calendar days. (See Attachment I, Transition Plan). Testing for POR enhancements to the Gateway Interfaces will be available no less than 60 calendar days.

**3.3.7.2** For LEX LSR changes, SBC will provide CLECs access to the test environment in accordance with the timeframes specified in the Final Release Requirements. The available testing timeframe shall be no less than 30 calendar days.

**3.3.7.3** If no Release Implementation OIS is initiated after the completion of joint testing (or after successful conclusion of any such OIS), SBC will implement the new release or updates.

**3.3.7.4 OIS Related to Category One Release Implementation**

If the parties cannot agree on whether the test criteria have been satisfied within the planned timeframe, either SBC or the CLEC may invoke a second **OIS process related to Gateway Implementation**, using the eligibility requirements and timeline defined in Section 7.0 of this document.

**3.3.7.5 SBC Freeze of Code**

Testing must be scheduled to end at least seven (7) calendar days prior to the scheduled implementation date, unless otherwise agreed between SBC and the CLEC. This seven-day period is to accommodate the software freeze in preparation of the release, and to provide CLECs an opportunity to invoke an OIS, if necessary as a result of release testing, as described in Section 7.0 of this document.

**3.4 Versioning of Category One (Gateway) Releases**

**3.4.1 Number of Releases per Year**

Unless mandated or properly proposed and accepted under the exception process outlined in Section 6.3, SBC will implement no more than four releases requiring coding changes to the CLECs' interfaces, no less than three months apart, within a calendar year. (See Attachment I, Transition Plan).

### 3.4.2 Number of Software Versions Supported for Category One Releases

SBC will support three versions of software at all times for its EDI Ordering and EDI/Corba Pre-Ordering interfaces. The last dot release of the retired LSOG will be supported until the next LSOG is implemented. The other two versions supported will either be the latest two dot versions or in the case of initial implementation of an LSOG, the new LSOG and the next to last dot release of the retired LSOG. Sunset of the oldest LSOG will occur on the implementation date of the newest LSOG version. (See Attachment I, Transition Plan).

#### 3.4.2.1 Example to Illustrate Versioning

If LSOG 4 is being implemented and the interface is currently on LSOG2.3, before implementation the versions available to the CLEC would be LSOG2.3, LSOG 2.2 and LSOG1.3 (the last dot release of LSOG1). When LSOG4 is implemented, LSOG 1.3 would retire and LSOG 2.3, LSOG 2.2 and LSOG4 would be available. When LSOG4.1 is implemented, the CLECs could use LSOG 2.3 (which will be supported until the NEXT major LSOG release), LSOG4 and LSOG4.1.

	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q
LSOG1.3												
LSOG2.2												
LSOG2.3												
LSOG4.0												
LSOG4.1												
LSOG4.2												
LSOG4.3												
LSOG5												
KEY		Sunrise		Sunset								



**3.4.2.2** SBC will retire the oldest LSOG version to new CLEC entrants once the last "active" CLEC using that LSOG version has successfully migrated to the subsequent version.

#### **3.4.3 Versioning of Emergency Fixes**

For emergency fixes that may be required to correct problems in software releases, other than regularly quarterly releases, the version number will not be incremented and will not cause the oldest dot version of the current LSOG to be retired as a result of the implemented fix.

#### **3.4.4 Versioning in Transition before Implementation of the Common Platform**

In the time period before each region moves to the Uniform OSS platform as defined in the SBC/Ameritech merger conditions, SBC will implement support for two versions as outlined in the release requirements for the August 12, 2000 EDI release scheduled for the SWBT and PB/NB regions. ~~SBC will maintain Issue 7 in the Ameritech region through the implementation of the Uniform OSS platform.~~ After implementation of the common platform, all regions will be supported by three versions as defined in this section.

#### **3.4.5 Versioning of Mandated Releases**

For mandated changes that must occur between regularly scheduled releases, SBC will not retire the oldest version in order to implement the mandated change. The mandated change will be implemented as a sub-dot release of all versions (except a retired version), unless the mandated change could not be accommodated by the structure or intent of the old version. For example, if the structure of the old LSOG version supported a field at the LSR level while the new mandate required the field to be supported at the Line level, this change could impact the architecture of the system and database. Each instance would need to be evaluated on a case by case basis.

**3.4.5.1** Mandated changes that occur at the time of a regularly scheduled release will be made in all versions (except a retired version as defined in 3.4.2.2) unless:

- the structure or intent of the old version cannot accommodate the change, or
- Via the Categorization/Prioritization process a joint SBC/CLEC decision is made that the mandate should not be implemented in an old version.

#### **3.4.6 Versioning of Category One Pre-Order/DataGate Software**

SBC's Gateway Pre-Ordering interfaces will support three versions of software as described in Gateway Ordering above. DataGate, as a proprietary interface, is not tied to LSOG versions. Therefore, DataGate will support the three most recent versions of its software. SBC's release announcement of a new DataGate version will constitute notification of sunset for the oldest DataGate version and will include notification of the specific version of DataGate that will sunset with the new release. Upon implementation of the newest release, SBC will no longer support the oldest version.

### **3.5 Category Two (GUI) Change Process (Appendix C)**

**3.5.1** SBC will share plans for changes to GUI at scheduled Change Management meetings, as part of its rolling 12-month Development View (see Section 8.0). SBC makes available one version of a GUI at any given time.

### **3.5.2 Category Two Initial Release Requirements**

At least 21 days prior to its planned implementation date, SBC will detail the changes in Initial Release Requirements delivered to CLECs via an email Accessible Letter.

#### **3.5.2.1 Content of Category Two Initial Release Requirements**

The Accessible letter will contain:

- A written summary of the change(s) in plain English
- A target timeframe for implementation
- Any cross-reference to updated User Guide or revised User Guide pages.

**3.5.2.2** LEX changes associated with the LSR will be handled on a timeline to allow for the 30-day test window discussed in Section 3.3.7.2 above. (See Attachment I, Transition Plan). Testing for POR enhancements to LEX will be no less than 60 calendar days.

#### **3.5.2.3 Walk Through of Category Two Requirements**

If requested by one or more CLECs within 7 days of the Initial Release Requirements, SBC will sponsor a walk-through with the appropriate internal subject matter experts (refer to Appendix J, Requirements Walk-Through Process). SBC will hold this walk-through no later than one (1) week prior to the scheduled implementation.

#### **3.5.2.4 CLEC Comments on Initial Requirements**

If a CLEC identifies issues or requires clarification, the CLEC must send a written response (via email, fax or regular mail) to the SBC CMPOC and the CLEC's Account Manager. The CLEC response must be received by SBC within four (4) business days of the date of the Initial Release Requirements. The response will specify the CLEC's questions, issues and any alternative recommendations for implementation.

#### **3.5.2.5 SBC Response to Comments**

SBC will review all CLEC responses. Within three (3) business days of the end of the period specified in Step 3.5.2.4 above, SBC will provide written answers to CLEC questions via email Accessible Letter. SBC's answers will be shared with all CLECs, unless any questions were specifically identified as "private" by any CLEC. Any changes that may occur as a result of the responses will be distributed to all CLECs in the same Accessible Letter.

#### **3.5.3 Category Two Final Release Requirements**

The Accessible Letter resulting from 3.5.2.4 above will constitute the **Final Release Requirements**.

##### **3.5.3.1 Content of Category Two Final Release Requirements**

In addition to the content listed in Section 3.5.2.1 above, the final release requirements will include:

- A summary of changes from Step 3.5.2.5 above
- Indication of type of change (i.e., documentation change, business rule change, clarification change)
- Changed requirements pages
- Release date.

##### **3.5.3.2 Interval before Implementation of Release**

Generally, SBC's planned implementation date will be no sooner than the 14<sup>th</sup> calendar day from the date of the Final Release Requirements. The implementation timeline for the release will not begin until all related documentation is provided.

##### **3.5.3.3 Category Two Final Release Requirements OIS**

A CLEC may elect to initiate the OIS process described in Section 7 of this CMP related to the Final Release Requirements of Category Two Changes (GUI).

#### **3.5.3.3.1 CLEC Initiation of Final Release Requirements OIS**

Should a CLEC elect to initiate the OIS process related to Final Release Requirements for Category Two (GUI) Changes, the CLEC must send a written notice (via email, fax, or regular mail) to the SBC CMPOC and the CLEC's Account Manager. This notice must be received within two (2) business days of the date of the Final Release Requirements.

#### **3.5.3.3.2 Final Release Requirements OIS Conference Call**

Upon receipt of an OIS notice related to such Final Release Requirements, SBC will schedule a conference call to be held at 2:00 PM Central Time, two (2) business days after the due date for OIS initiation notices (four (4) business days after the Final Release Requirements). Additional procedures for an OIS related to Final Release Requirements are specified in Section 7.0 of this document.

#### **3.5.3.3.3 OIS on SBC Retail Systems**

The OIS process is not available for SBC's retail systems, as specified in Section 7.0 of this document.

#### **3.5.3.3.4 No CLEC Joint Testing of Category Two Changes**

No provision for CLEC joint testing is included in the Category Two process, with the exception of LEX, referred to in Section 3.3.7.2.

#### **3.5.3.3.5 Release Implementation**

If there is no Final Release Requirements OIS for GUI changes (or after successful resolution of such an OIS), SBC will implement the new release or updates following the established implementation timeline.

### **4.0 Introduction of New Interfaces**

#### **4.1 Two Categories of New Interfaces**

This process divides the introduction of new interfaces into two categories: Category One (Gateway) and Category Two (GUI).

#### **4.2 Category One (Gateway) Process-New Interface (Appendix D)**

##### **4.2.1 Design and Development Meeting**

Approximately nine (9) months in advance of the target implementation date, SBC will convene a Design and Development meeting with the CLEC community.

#### **4.2.1.1 Preliminary Plans**

SBC will share preliminary plans for the new interface, including:

- Regional availability
- Proposed implementation timeline
- SBC constraints
- Exceptions to industry standards, etc.

#### **4.2.1.2 CLEC Feedback**

During the Design and Development meeting, CLECs may provide feedback to SBC, including interest in developing to the initial version of the interface. If available, SBC will share draft Initial Release Requirements. If a CLEC identifies additional issues or wishes to provide feedback, the CLEC must send a written response (via email, fax or regular mail) to the SBC CMPOC and the CLEC's Account Manager. This feedback must be received no later than the 4<sup>th</sup> business day following the date of the Design and Development Meeting. The CLEC response will specify the CLEC's questions, issues and any alternative recommendations for implementation.

**4.2.1.3** SBC will communicate via Accessible Letter its interface development plans, including how it has incorporated CLEC feedback from the Design and Development Meeting and additional written feedback (this can be combined with Step 4.2.2).

#### **4.2.2 Category One Release Announcement**

SBC will provide a Release Announcement to CLECs via an email Accessible Letter.

##### **4.2.2.1 Content of Release Announcement**

The Release Announcement will contain:

- A written summary of the new interface in plain English
- A target timeframe for implementation
- Any cross reference to industry documentation
- Any known exceptions to industry guidelines.

##### **4.2.2.2 CLEC Comments on Release Announcement**

If a CLEC identifies issues or requires clarification, the CLEC must send a written response (via email, fax or regular mail) to the SBC CMPOC and the CLEC's

Account Manager, which must be received no later than the 7<sup>th</sup> calendar day following the date of the Release Announcement. The CLEC response will specify the CLEC's questions, issues and any alternative recommendations for implementation.

#### **4.2.2.3 Documentation of Intent to Develop**

CLECs who are interested in developing to the initial version of the interface (as described in the Release Announcement) within six (6) months of SBC's planned implementation, will document that intent via one of the following methods:

- a Record of Understanding ("ROU"),
- a signed Interconnection Agreement ("ICA") with an implementation schedule for the interface, negotiating terms and conditions for access to the interface, subject to acceptable substantiation and sanctioned by a majority vote of the other Qualified CLECs<sup>3</sup>.

ROUs can be modified or submitted through Step 4.2.3.4 of the process.

#### **4.2.2.4 SBC Response to Comments**

SBC will review all CLEC responses. Within seven (7) calendar days of the end of the time period specified in Step 4.2.2.3 (14 calendar days following the date of the Release Announcement), SBC will provide written answers to CLEC questions via Accessible Letter. SBC's answers will be shared with all CLECs, unless any questions were specifically identified as "private" by any CLEC.

#### **4.2.2.5 Industry Guideline Changes**

If SBC announces a new interface before applicable guidelines are finalized at the ATIS/OBF industry forums, SBC will review the final guidelines when they are issued. This review will determine any alterations that may be necessary for compliance with the finalized requirements and will work these changes within the standards of this CMP. SBC will review its system requirements and provide known exceptions to industry guidelines.

#### **4.2.3 Category One Initial Release Requirements**

No sooner than the last day of the period specified in Step 4.4.2.4, SBC will send the Initial Release Requirements to CLECs via another Accessible Letter.

##### **4.2.3.1 Content of Initial Release Requirements**

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<sup>3</sup> The definition of "Qualified" CLECs is the same as is specified in Section 7.4 of this document.

The Initial Release Requirements will contain:

- The planned implementation date
- The date of the Initial Requirements walk-through
- Interface requirements
- Exceptions to the EDI transaction set (if applicable)
- Industry cross-reference and reporting impacts, if any

#### **4.2.3.2 Interval before Implementation of Release**

Generally, SBC's planned implementation will fall within 152 to 172 calendar days from the date of the Initial Release Requirements.

#### **4.2.3.3 Walk-Through of Category One Initial Requirements**

SBC will sponsor a walk-through for CLECs of the Initial Requirements with the appropriate internal subject matter experts (refer to Appendix J, Requirements Walk-Through Process). SBC will hold this walk-through between the 14<sup>th</sup> and 19<sup>th</sup> day of the CLEC comment cycle. CLECs will have at least three business days following the walk-through to submit comments. If this walk-through is not scheduled during this time period, the comment cycle will be extended to compensate for the delay unless all parties agree that the extension is not necessary.

#### **4.2.3.4 SBC Response to CLEC Comments**

SBC will review all CLEC responses to Initial Release Requirements. No later than the 21<sup>st</sup> calendar day following the end of the period specified in Step 4.2.3.3, SBC will provide written answers to CLEC questions via an email Accessible Letter. SBC's answers will be shared with all CLECs, unless any questions were specifically identified as "private" by any CLEC. Any changes that may occur as a result of the answers will be distributed to all CLECs in the same Accessible Letter.

#### **4.2.4 Category One Final Release Requirements**

The Accessible Letter resulting from 4.2.3.4 will constitute the **Final Release Requirements**.

##### **4.2.4.1 Content of Final Release Requirements**

The Final Release Requirements will include:

- A summary of the changes from Step 4.2.3.4 above

- Indication of type of change, (i.e., documentation change, business rule change, clarification change, etc.)
- Changed requirements pages
- Release date

#### **4.2.4.2 Final Release Requirements Walk-Through**

SBC will schedule a conference call or meeting, within three to five business days after distribution of the Final Requirements, to discuss any changes made to the Final Requirements.

#### **4.2.4.3 Interval before Implementation of the Release**

Generally, SBC's planned implementation will fall within 110 to 130 calendar days from the date of the Final Release Requirements. This implementation interval for the release will not begin until all related documentation is provided.

#### **4.2.4.4 Final Release Requirements OIS**

A CLEC may elect to initiate the OIS process described in Section 7 of this CMP related to the Final Release Requirements.

##### **4.2.4.4.1 CLEC Initiation of Category One Final Release Requirements OIS**

Should a CLEC elect to initiate the OIS process related to the Final Release Requirements for a New Category One (Gateway) Interface, the CLEC must send a written notice (via email, fax or regular mail) to the SBC CMPOC and the CLEC's Account Manager. This notice must be received within seven (7) calendar days from the date of the Final Release Requirements.

##### **4.2.4.4.2 Final Release Requirements OIS Conference Call**

Upon receipt of a CLEC OIS notice related to such Final Release Requirements, SBC will schedule an OIS conference call for 2:00 PM Central Time, seven (7) calendar days after the due date for the OIS notices (14 calendar days after the date of the Final Release Requirements). Additional procedures for an OIS related to such Final Release Requirements are as specified in Section 7.0 of this document.

#### **4.2.4.5 Interval before Implementation of Release**

If no Final Release Requirements OIS for a new Gateway Interface is initiated (or after successful conclusion of any OIS), the established implementation timeline will begin.

#### **4.2.5 CLEC Joint Testing**



Testing will be conducted as defined in this section by SBC and any interested CLEC. Testing will continue until the agreed upon testing exit criteria have been satisfied in accordance with a negotiated joint release test plan, to the mutual satisfaction of the parties.

**4.2.5.1** SBC will make testing available in accordance with the timeframes specified in the Final Release Requirements. The available testing timeframe shall be no less than 30 calendar days.

**4.2.5.2 OIS Related to New Interface Gateway Implementation**

If the parties cannot agree on whether the test criteria have been satisfied within the planned timeframe, either SBC or the CLEC may invoke a second OIS process related to New Interface Gateway Implementation, using the eligibility requirements and timeline defined in Section 7.0 of this document.

**4.2.5.3** If no Gateway Implementation OIS is initiated after the completion of joint testing (or after successful completion of any OIS), SBC will implement the new interface.

**4.2.6 SBC Freeze of Code**

Testing must be scheduled to end at least seven (7) calendar days prior to the scheduled implementation date, unless otherwise agreed between SBC and a CLEC.

**4.3 Category Two (GUI) Process - New Interface (Appendix E)**

**4.3.1 Design and Development Meeting**

Approximately eight (8) weeks in advance of the target implementation date, SBC will share Design and Development information with the CLEC community (e.g., via a meeting, conference call or email Accessible Letter, etc.).

**4.3.1.1 Preliminary Plans**

SBC will share preliminary plans for the new interface, including:

- Regional availability
- Proposed implementation timeline
- SBC's constraints
- Exceptions to industry standards, etc

**4.3.1.2 CLEC Feedback**

CLECs will provide feedback to SBC, including interest in implementing the initial version of the interface, and interest in participating in beta testing if applicable to

this new interface. If available, SBC will share draft Initial Release Requirements. If a CLEC identifies additional issues or feedback, the CLEC must send a written response (via email, fax or regular mail) to the SBC CMPOC and its Account Manager. This feedback must be received no later than the 2<sup>nd</sup> business day following the date the Design and Development information is provided. The CLEC response will specify the CLEC's questions, issues and any alternative recommendations for implementation.

**4.3.1.3** SBC will communicate its interface development plans via Accessible Letter, including how it has incorporated CLEC feedback from the meeting and additional written feedback (this can be combined with Step 4.3.2).

#### **4.3.2 Category Two Initial Release Requirements**

SBC will detail the new interface in the Initial Release Requirements delivered to CLECs via an email Accessible Letter.

##### **4.3.2.1 Content of Initial Release Requirements**

The Initial Release Requirements will contain:

- A written summary of the new interface in plain English
- A target timeframe for implementation
- How and when the User Guide will be available (which will not be any later than two weeks before the implementation date)
- User training requirements

##### **4.3.2.2 Initial Release Requirements Walk Through**

SBC will sponsor a walk-through for CLECs of the Initial Requirements with the appropriate internal subject matter experts (refer to Appendix J, Requirements Walk-Through Process). SBC will hold this walk-through during the seven (7) day CLEC comment cycle.

##### **4.3.2.3 CLEC Comments on Initial Release Requirements**

If a CLEC identifies issues or requires clarification, the CLEC must send a written response (via email, fax, or regular mail) to the SBC CMPOC and the CLEC's Account Manager. This written response must be received no later than the 7<sup>th</sup> calendar day after the date of the Initial Release Requirements. The response will specify CLEC questions, issues and any alternative recommendations for implementation.

##### **4.3.2.4 SBC Response to CLEC Comments**

SBC will review all CLEC responses. No later than the 7<sup>th</sup> calendar day after the end of the period specified in Step 4.3.2.3, SBC will provide written answers to CLEC questions via email Accessible Letter. SBC's answers will be shared with all CLECs unless any questions were specifically identified as "private" by any CLEC. Any changes that may occur as a result of the answers will be distributed to all CLECs in the same Accessible Letter.

#### **4.3.3 Category Two Final Release Requirements**

The Accessible Letter resulting from step 4.3.2.4 above will constitute the **Final Release Requirements**

In addition to the content listed in 4.3.2.1 above, the Final Release Requirements will include:

- A summary of the changes from Step 4.3.2.4 above
- Indication of type of change, (i.e., documentation change, business rule change, clarification change, etc.)
- Changed requirements pages
- Release date

#### **4.3.3.2 Interval before Implementation of the Release**

Generally, SBC's planned implementation will be no sooner than the 14<sup>th</sup> calendar day from the date of the Final Release Requirements. All documentation is to be available two weeks before implementation of the new interface.

#### **4.3.3.3 Category Two Final Release Requirements OIS**

A CLEC may elect to initiate the **OIS process** related to the **Final Release Requirements** for a New Category Two Interface.

##### **4.3.3.3.1 CLEC Initiation of Final Release Requirements OIS**

The CLEC must send a written notice (via email, fax or regular mail) to the SBC CMPOC and the CLEC's Account Manager, which must be received within two (2) business days of the date of the Final Release Requirements.

##### **4.3.3.3.2 Final Release Requirements OIS Conference Call**

Upon receipt of a CLEC OIS notice related to such Final Release Requirements, SBC will schedule an OIS conference call for 2:00 PM Central Time, two (2) business days after the due date for the OIS notices (four (4) business days after the date of the Final Release Requirements). Additional proceedings for an OIS

related to Final Release Requirements are as specified in Section 7.0 of this document.

#### **4.3.3.3.3 OIS on SBC Retail Systems**

The OIS process is not available for SBC's retail systems, as specified in Section 7.0 of this document.

#### **4.3.3.4 CLEC Testing**

*For New Category Two Interfaces, CLECs may negotiate through their SBC Account Manager the ability to pass a limited number of test transactions. This would only be available after the interface is in a production mode and at the CLEC's initial turn up of the interface.*

#### **4.3.3.5 Release Implementation**

If no Final Release Requirements OIS is initiated (or after successful conclusion of any OIS), SBC will implement the new interface following the established implementation timeline.

## **5.0 Retirement of Existing Interfaces**

### **5.1 Retirement Groups**

This process divides the retirement of all interfaces in the scope of this document into two groups:

**5.1.1 Group A:** retail interfaces (see Appendix A)

**5.1.2 Group B:** wholesale interfaces (see Appendix A)

- Category 1: Gateway applications
- Category 2: GUI applications

### **5.2 Interface Retirement Process (Appendix F)**

#### **5.2.1 Initial Retirement Plans**

Prior to sending a Retirement Notice, SBC will share its Initial Plans for retirement of existing interfaces at a scheduled CMP meeting. During that scheduled meeting, SBC will explain:

- The rationale for retiring the interface
- Where the replacement functionality resides or where it will exist in production at least six months prior to the scheduled retirement date

- SBC's plans to maintain the interface for a specified period of time
- SBC's target date for the Retirement Notice.

## **5.2.2 Retirement Notice**

SBC will announce the retirement of the interface in a Retirement Notice delivered to CLECs via an email Accessible Letter.

### **5.2.2.1 Content of the Retirement Notice**

The **Retirement Notice** will contain:

- A written summary of the retirement plans in plain English
- A retirement date
- The interfaces where comparable functionality currently exists or will exist in production at least six months prior to the scheduled retirement date.

### **5.2.2.2 Comparable Functionality**

Once an interface with comparable functionality is in production, no CLEC may begin to use (i.e., "turn up" for the first time) the interface that is scheduled for retirement.

### **5.2.2.3 Retirement Notice Intervals**

For retirement of interfaces, SBC will provide the following notice (broken out by Interface Group) from the time of the Retirement Notice to the retirement of the interface, unless SBC invokes the use of the Exception process, as described in Section 6.3.

#### **5.2.2.3.1 Group A (Retail interfaces): 12 months**

#### **5.2.2.3.2 Group B (Wholesale interfaces):**

- Category 1 (Gateway applications): 24 months
- Category 2 (GUI applications): 12 months

### **5.2.2.4 CLEC Comments on Initial Retirement Notice**

If a CLEC identifies issues or requires clarification, the CLEC must send a written response (via email, fax or regular mail) to the SBC CMPOC and the CLEC's Account Manager. This response must be received no later than the 21<sup>st</sup> calendar day following the date of the Retirement Notice. The CLEC response will specify the CLEC's questions, issues and any alternative recommendations.

### **5.2.2.5 SBC Response to CLEC Comments**

SBC will review all CLEC responses. Not later than the 21<sup>st</sup> calendar day following the end of the period specified in Step 5.2.2.4, SBC will provide written answers to CLEC questions via an email Accessible Letter. SBC's answers will be shared with all CLECs, unless any questions were specifically identified as "private" by any CLEC. Any changes that may occur as a result of the answers will be distributed to all CLECs in the same Accessible Letter.

### **5.2.3 Final Retirement Notice**

The Accessible Letter resulting from 5.2.2.5 above will constitute the **Final Retirement Notice**.

#### **5.2.3.1 Content of Final Retirement Notice**

In addition to the contents listed in 5.2.2.1 the **Final Retirement Notice** will include:

- The retirement date
- Any changes from Step 5.2.2.5 above.

### **5.2.4 OIS for Group B Retirement**

With respect to retirement of Group B wholesale interfaces only, a CLEC may elect to use the **OIS process**.

#### **5.2.4.1 CLEC Initiation of an OIS**

Should a CLEC elect to initiate the process described in Section 7.0, the CLEC must send a written notice (via email, fax or regular mail) to the SBC CMPOC and its Account Manager. This written notice must be received at least 30 calendar days prior to the scheduled retirement date.

#### **5.2.4.2 OIS Conference Call**

Upon receipt of a CLEC OIS notice related to such Final Retirement Notice, SBC will schedule an OIS conference call for 2:00 PM Central Time, seven (7) calendar days after the due date of the OIS notices.

### **5.2.5 Retirement of Interface**

If no OIS is initiated, (or after successful conclusion of any OIS), SBC will retire the interface on the retirement date announced.

## **6.0 Other Items**

### **6.1 Operational Points of Contact (OPOC)**

Each CLEC will designate primary and secondary Operational Points of Contact (OPOC) for the regions in which it operates. The OPOC will serve as the CLECs' official designee for notifications on all emergency situations related to releases.

**6.1.1** The CLECs must provide the following information to the CMPOC and the CLEC's Account Manager for each OPOC:

- Name
- Telephone number
- Email address
- Fax number.

#### **6.1.2 OPOC List Creation**

SBC will create the OPOC list. It is SBC and the CLEC's responsibility to maintain and update the information on the list. This list will be used to update CLECs on operational issues.

### **6.2 Emergency Situations Related to a Release**

**6.2.1** Emergency releases or emergency implementation date changes will be handled as special cases.

**6.2.2** Emergency releases are releases that address major software problems, production system failure or an interface failure. These also include releases that address significant production problems, the failure of scheduled release enhancements and the failure of pre-existing functionality.

#### **6.2.3 Notification of Emergency Situations**

The notification process interval will be handled on a case-by-case basis and will depend on the type and extent of the emergency. Notification to the CLECs will be sent as soon as reasonably practicable after the emergency is recognized. The emergency notification may not be in the form of an Accessible Letter, and may be sent via other expedited means (e.g., fax, email or phone call).

#### **6.2.4 Disputes Related to Emergency Situations**

In emergency situations, mutual testing and problem resolution will be conducted through the OSS contacts for all companies involved. Disagreements regarding the existence of an emergency situation shall be resolved through invoking an OIS, as described in Section 7.0, and/or escalation and may be brought before the appropriate regulatory body.

#### **6.2.5 OIS for Emergency Situations**

Should a release have a major problem that has a significant impact to a CLEC or if the system is not operating as specified in the final release requirements, the CLEC or SBC may invoke an OIS. In the OIS process, remedies to the emergency situation and/or back-out and recovery considerations will be decided.

### **6.3 Exceptions**

Above and beyond the need to handle emergency situations, the parties recognize the need to occasionally allow for other exceptions to the CMP described herein.

#### **6.3.1 Unanimous Agreement**

Because it will be difficult for SBC or other CLECs to accurately assess the impact of SBC's proposed change on any given CLEC's current or future development, any agreement to deviate from the normal CMP shall be **agreed to unanimously** by Qualified CLECs and SBC.

#### **6.3.2 Request for Release (or Retirement) Requirements Exception**

If SBC or CLECs wish to propose that a specified change, introduction of a new interface or retirement of an interface be handled on an exception basis, SBC will issue a **Release (or Retirement) Requirements Exception** Accessible Letter.

##### **6.3.2.1 Content of Release Requirements Exception**

The **Release Requirements Exception** will include:

- The exception request
- The reason for the exception
- The applicable reply and comment cycle.

##### **6.3.2.2 CLEC Comments on Exception Request**

Following the timelines outlined in this document, CLECs may respond with questions and issues. SBC may request that the question and comment period be expedited as part of the exception. This expedited comment cycle would also be open to CLEC comment. Qualified CLECs as defined in Section 7.4 of this document, may indicate objections to handling the change, new interface or retirement as an exception. Lack of a response within the specified timeline indicates no objection.

##### **6.3.2.3 Implementation of Exception**



SBC may proceed to implement the change, new interface or retirement on an exception basis only if there are no outstanding issues, or CLEC objections at the end of the CLEC response cycle specified in Step 6.3.2.1 above.

#### **6.3.2.4 Regulatory Mandated Changes**

Regulatory mandated changes, whereby a regulatory body specifically orders expanded or modified functionality within a mandated timeframe that does not allow for the timelines specified in the CMP, will not be subject to the objection process for exceptions. If necessary, objections to the mandated change, the method for handling the mandated change, or the associated timeline may be taken to the applicable regulatory bodies.

##### **6.3.2.4.1 Timeline related to Regulatory Mandated Changes**

In the Accessible Letter notification, SBC will provide any modified timelines for the change. If no such timeframe is specified, regulatory mandated change shall be subject to the CMP process as described in this document. SBC and the CLECs will, where possible, make every effort to encourage regulators to follow the CMP timeline for mandated changes.

##### **6.3.2.4.2 SBC/Ameritech Merger Related Changes**

SBC/Ameritech merger related requirements are not considered mandated changes and shall follow the CMP.

#### **6.4 Training**

**6.4.1** All changes to existing interfaces, as well as the introduction of new interfaces, will be incorporated into external CLEC training and SBC's internal processes for updating employees on changes to the CLECs' and its own retail systems. This includes updating external CLEC training, and all parties' best efforts to update internal training and applicable Methods and Procedures (M&P).

**6.4.2** All parties agree that information regarding changes to the interfaces, as well as information regarding new interfaces, needs to be communicated and coordinated with end users and support personnel to ensure effective implementation.

#### **6.5 Notification of SBC Documentation Changes**

CLECs will be notified (via email Accessible Letter) of Changes that impact OSS related documentation (e.g., LSOR, LSPOR, User Guide, ESO User Guide, RSOG, etc.). The applicable documentation on the SBC CLEC web site will be updated as defined in the written notification. (See Attachment I, Transition Plan).

## **6.6 CLEC Joint Testing**

### **6.6.1 Joint Testing of Existing Interfaces**

For changes to existing interfaces, CLEC joint testing will be conducted for gateway interfaces and LEX.

### **6.6.2 Joint Testing of New Interfaces**

**6.6.2.1** For new interfaces, CLEC joint testing will be conducted for Gateway interfaces as defined in this section.

**6.6.2.2** For GUIs, CLECs may negotiate through their SBC Account Manager the ability to pass a limited number of test transactions, over the GUI interface, after the interface is in production mode.

### **6.6.3 Joint Release Test Plan Template**

Where applicable, SBC and CLECs will perform Gateway interface testing as negotiated by the parties and documented in a customized test plan. SBC maintains a Joint Release Test Plan template on its CLEC web site that may be used in the development of the customized test plan. (See Attachment I, Transition Plan).

### **6.6.4 Test Scenarios**

Each testing party will meet with SBC and agree on its own set of test scenarios that will be included in the test, applicable entrance and exit criteria and a test schedule. Regression testing will be supported in limited scenarios as agreed upon in the documented test plan. A limited number of test accounts will be made available during CLEC testing. (See Attachment I, Transition Plan).

### **6.6.4 OIS Related to Joint Testing**

Should the parties not agree that a successful test was achieved within the specified interval, either SBC or the CLEC may initiate an OIS, as described in Section 7.0.

#### **6.6.4.1 CLEC Initiation of an OIS related to Joint Testing**

A Qualified CLEC, as defined in Section 7.4 of this document, must notify the SBC CMPOC and the CLEC's Account Manager in writing by 12:00 PM Central Time on the Monday prior to the scheduled release implementation.

#### **6.6.4.2 Joint Testing OIS Conference Call**

If an OIS call is requested based on the results of joint CLEC testing, the call will be held the Tuesday prior to the scheduled release.

## **6.7 SBC Resolution of POR Issues and Responses to CLEC issues**

SBC will respond to CLEC CMP issues in a timely manner. When a CMP related issue is identified or CLECs require a response from SBC, the CLECs and SBC will agree on a timeframe for response and/or resolution to an issue. The SBC CMPOC will monitor issues related to release implementation. Type and severity of the problem or issue will dictate the timeframe for resolution and the method used to work the issue.

### **6.7.1 CLEC Responsibilities**

CLECs have the following responsibilities to facilitate resolution of CMP Issues:

- Submit issues in writing to the SBC CMPOC.
- For issues related to the implementation of a release that is already in production, the CLEC will provide backup information, where possible, in the form of examples to both the operational team working on the issue and the SBC CMPOC.
- Identify the severity of the release-related issue and the timeliness required for response to the issue.
- Inform the SBC CMPOC of any customer affecting outage issues related to release implementation that are being worked through regular escalation processes.

### **6.7.2 SBC CMPOC Responsibilities**

The SBC CMPOC has the following responsibilities to facilitate resolution of CMP Issues:

- Provide written response to the CLEC acknowledging that the CMP Issues have been received.
- Request additional information regarding the issues when necessary.
- Log the issues with date and time received.
- Engage resources within SBC to determine an expected resolution time.
- Prepare response to the CLEC that provides the resolution or a timeframe for delivery of a resolution.

## **6.8 Changes to Legacy/Backend systems for Pre-Ordering, Ordering, and Provisioning**

SBC will post backend/legacy scheduled system changes to the SBC CLEC website to inform CLECs of possible impacts to CLEC ordering ability. Posting of this information will occur 2 weeks prior to the scheduled implementation of such changes, if possible, but no less than 48 hours prior to implementation. Notice on emergency changes that occur without advance notification will be posted within 24 hours of the change. (See Attachment I, Transition Plan).

## **7.0 Outstanding Issue Solution (OIS)**

As outlined above, the OIS process may be invoked as follows:

- Category One - Changes to Hours of OSS Interface Availability
- Category One - Changes, Final Release Requirements (Step 3.3.6.4)
- Category One-Changes, Release Implementation (Step 3.3.7.4)
- Category One-New Interfaces, Final Release Requirements (Step 4.2.4.4)
- Category One-New Interfaces, Release Implementation (Step 4.2.5.2)
- Category Two-Changes, Final Requirements (Step 3.5.3.3)
- Category-Two New Interfaces, Final Release Requirements (Step 4.3.3.3)
- Retirement of Interfaces (Section 5.2.4)
- Emergency Situations (Section 6.2.5)
- Joint Testing (Section 6.6.4)

### **7.1 OIS Process Initiation**

#### **7.1.1 CLEC Initiation of an OIS**

The initiating CLEC will provide the SBC CMPOC and the CLEC's Account Manager with written notification (via fax, email, or regular mail) of the outstanding issue(s). This notice will include the disputing party's reason(s) for raising the dispute and any alternative recommendations.

#### **7.1.2 OIS Conference Call**

The CLEC initiating an OIS shall provide a bridge number for the conference call with its initiation notice. In the event more than one CLEC initiates an OIS, SBC shall coordinate with the initiating CLECs to determine which bridge number to use.

#### **7.1.3 Notification of OIS**

SBC will notify by email all primary and secondary CLECs' CMPOCs as defined in Section 8.1, as soon as reasonably practicable after SBC's receipt of the OIS initiation notices. This notification will in no event be later than one (1) business day before the call. The notification will consist of notification of the dispute and the date, time and bridge number for the voting call.

## **7.2 Issue Timeline**

In accordance with the appropriate timelines as set out in the above sections of this document, SBC will publish a summary of all CLEC dispute(s), which will include SBC's position on those disputes.

**7.2.1** Depending on the outcome of an OIS or open issue, CLECs and/or SBC may request a delay of the implementation date.

**7.2.2 Participation in the OIS** All parties agree that it is in their mutual interest to expedite the deliverables that are due during the OIS process. Any CLEC, including one not qualified to vote in the OIS process, may participate on the OIS calls.

## **7.3 Dispute Vote**

If the parties are unable to reach a solution, a dispute vote may be called by any Qualified CLEC.

**7.3.1** Discussion on the voting call may include:

- a dialogue for the opposing views
- impacts of a "No" vote on the remainder of the release or other connected releases (applies to changes to existing interfaces only)
- discussion of options.

## **7.3.2 Question Associated with OIS**

The vote by Qualified CLECs during the call will resolve the question appropriate to the change category (e.g., change to existing interface, introduction of new interface or retirement of interface) as follows.

### **7.3.2.1 Change to Existing Interfaces**

Will SBC implement the disputed item as defined by SBC at the end of the notice and comment period (published in the Final Release Requirements)?

The allowed votes are "Yes," "No" and "Abstain". In the event of a "No" vote, CLECs and SBC will discuss options for implementing a partial release.

### **7.3.2.2 New Interfaces**

Will SBC implement the new interface as defined by SBC at the end of the notice and comment period (published in the Final Release Requirements)?

The allowed votes are "Yes," "No" and "Abstain". In the event of a "No" vote, CLECs and SBC will discuss a partial implementation.

#### **7.3.2.3 Retirement of Interfaces**

Has SBC provided comparable functionality?

The allowed votes are "Yes," "No" and "Abstain".

**7.3.2.3.1** In the event of a "yes" vote (allowing SBC to retire the interface in the timeframe SBC defined), CLECs who have an interest in continuing to use the interface subject to the retirement, beyond the retirement date, should initiate two-party negotiations with SBC. These negotiations will include, but will not be limited to, discussions of the ongoing costs of maintaining a customized interface and its ultimate obsolescence. The OIS process does not apply in this instance.

#### **7.3.2.4 Post Implementation Emergency Situations**

Should SBC begin backout and recovery process?

The allowed votes are "Yes," "No" and "Abstain".

### **7.4 Qualified CLECs**

A dispute vote may be necessary on either the 13-State Uniform platform or in the case of region specific systems the vote might apply to individual regions only. In order to participate in a Dispute Vote, each CLEC must have a registered CMPOC and must meet the other requirements defined in this section.

#### **7.4.1 For Vote Related to Final Release Requirements**

If the OIS relates to Final Release Requirements, Qualified CLECs must meet the following criteria to participate in a dispute vote.

##### **7.4.1.1 For New Interfaces**

CLECs with a documented intent to implement the initial version of the new interface within six months of SBC's planned implementation are Qualified CLECs. Documented intent is further defined as:

- CLEC with a signed Interconnection Agreement ("ICA") and
- A CLEC that is an "in production" user of the interface that is being replaced by a new interface or
- A CLEC who is scheduled to test the new interface.

#### **7.4.1.2 For Changes to Existing Interfaces**

If the OIS is related to Final Release Requirement Changes, to existing interfaces a Qualified CLEC must:

- Be in production on the interface – CLEC has issued at least 30 transactions in the most recent calendar month on the interface, or
- Be in testing for Category 1 Interfaces and/or
- Have scheduled or completed applicable training for Category Two Interfaces

#### **7.4.1.3 OIS on Changes Involving LSOR Rules**

In the case of an OIS relating to Final Release Requirements involving LSOR rules, CLECs that are users of LEX or EDI and that meet the above criteria are also qualified CLECs for the OIS on LSOR changes.

#### **7.4.2 Implementation of a Release**

If the OIS is to determine implementation of a versioned release, a Qualified CLEC is one that has tested release requirements for the newest version.

Category Two interface users do not vote in an OIS relating to implementation of a gateway release except as indicated in 7.4.1.3 above.

#### **7.4.3 Post Implementation Emergency Situations**

If the OIS relates to a post implementation emergency situation, Qualified CLECs, as defined in this section, are those that are using the release in question.

#### **7.4.4 Retirement of Interfaces**

If the OIS relates to the retirement of an interface, Qualified CLECs are those that are production users of the retiring interface, regardless of the version of the interface being used by the CLEC.

#### **7.5 Voting Process**

If agreement can not be reached to resolve the outstanding issue, the issue shall be resolved by a dispute vote.

##### **7.5.1 Voting Requirements**

A majority vote is required to change a release requirement, delay implementation of an EDI release, back out a release, or delay retirement of an

interface. Any Qualified CLEC (defined above) participating on the OIS call may vote. SBC shall send notice of the OIS call to all registered CMPOCs in advance.

### **7.5.2 Voting Requirements for Pre-Order Applications**

The voting requirements and the qualification criteria listed in this section and the sections above apply in the same way to the Uniform pre-order applications including EDI/CORBA.

**7.5.3 ~~A CLEC that is a Corporation is entitled to a single vote regardless of any affiliates that are also CLECs.~~**

## **8.0 Managing the Change Management Process**

### **8.1 Change Management Points of Contact (CMPOC)**

SBC and each CLEC will designate primary and secondary Change Management Points of Contact (CMPOC) for the regions in which it operates.

**8.1.1 Purpose of CMPOC** The CMPOC will serve as the official designee for all matters regarding CMP, including:

- Submission of CLEC Change Request forms
- Notification of critical matters (e.g., OIS) which is in addition to the Accessible Letter notification process.

**8.1.2** The CLECs must provide the following information to the SBC CMPOC and the CLEC's Account Manager for each CMPOC:

- Name
- Telephone number
- Email address
- Fax number.

### **8.1.3 CMPOC List Creation**



SBC will create the CMPOC list and publish this list on SBC's regional CLEC web sites. It is SBC and the CLEC's responsibility to maintain and update the information on the list. This list will be used to update CLECs on Change Management issues.

## **8.2 Change Management Process Meetings**

### **8.2.1 Frequency of Meetings**

Scheduled meetings will be held at intervals (at a minimum of once a quarter) agreed upon by SBC and CLECs to review the CMP and discuss development plans.

**8.2.2** During these meetings, the parties will review the effectiveness of the CMP and agree upon any changes. During the CMP meetings, SBC will share with the CLECs a non-binding, 12-Month Development View, with scheduled release dates. A review of POR implementation activities will be a standing agenda item at the CMP meetings until all POR items are implemented. Prior to the close of the meeting, the location of the next meeting will be announced.

### **8.2.3 CMP Action Log and Change Request Status**

SBC will maintain and distribute at the CMP meetings an Action Item Log containing action items from previous meetings and status. Additionally, during the CMP meetings, SBC will review status of the CLEC Change Requests. The meetings will include discussions of SBC's Development View, as well as any CLEC suggested development to the SBC OSS.

### **8.2.4 Meeting Minutes**

Minutes will be taken during the meetings by SBC. A draft version of the minutes will be distributed to meeting participants for comments or revisions. Revisions and comments will be incorporated into the final minutes. Comments or revisions not incorporated will be noted in the Accessible Letter distributing the Final Meeting Minutes<sup>4</sup>.

### **8.2.5 SBC Change Management Process Web Site**

To facilitate access to CMP documentation, SBC will maintain CMP information on its CLEC web site. At a minimum, SBC's CMP web page will contain:

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<sup>4</sup> Due to a regulatory requirement in Texas, the SWBT CMP meeting minutes will be filed with the TPUC within two weeks of the meeting.

- Current version of the SBC Competitive Local Exchange Carrier (CLEC) Interface Change Management Process document
- LSR-EDI Joint Release Test Plan Template
- A log of CLEC Change Requests and status as specified in Section 8.3 of this CMP
- References and/or Links to requirements for upcoming releases
- SBC's exceptions to the EDI LSOG Mechanization Specifications.

### **8.3 Change Request Process**

The change request process provides a means for CLECs to request changes to OSS and LSOR business rules. CMPOCs (see above) may recommend interface changes for future consideration by submitting a Change Request Form to the SBC's CMPOC and the CLEC's Account Manager. These changes may include new functionality or changes to existing functionality.

#### **8.3.1 Change Request Classifications**

CCRs will only be submitted by either SBC or the CMPOCs of Qualified CLECs, as defined in Section 7.4 of the CMP. The CCR should fall into one of the following classifications:

##### **8.3.1.1 Type 1 – Regulatory Change.**

These are changes to the interfaces between the CLEC's and SBC's operational support systems mandated by regulatory or legal entities, such as the Federal Communications Commission (FCC), a state commission/authority, or state and federal courts. Regulatory changes are not voluntary but are requisite to comply with newly passed legislation, regulatory requirements, or court rulings. Whereas timely compliance is required, the systems requirements and methodology to achieve compliance are usually discretionary and are within the scope of Change Management Process. Either SBC or a CLEC may initiate the change request.

Regulatory changes will be implemented as documented in Section 6.3.2.4 of the CMP.

##### **8.3.1.2 Type 2 – Industry Standard Change.**

These are changes to the interfaces between the CLEC's and SBC's operational support systems required to bring these interfaces in line with newly agreed upon

telecommunications industry guidelines. Either SBC or a CLEC may initiate the change request.

#### **8.3.1.3 Type 3 – SBC Initiated Change.**

Type 3 are changes affecting Pre-Ordering, Ordering, Provisioning, and Maintenance interfaces between the CLEC's and SBC's operational support systems which SBC requests to implement.

#### **8.3.1.4 Type 4 – CLEC Initiated Change.**

Type 4 are changes affecting Pre-Ordering, Ordering, Provisioning, and Maintenance interfaces between the CLEC's and SBC's operational support systems which the CLEC requests SBC to implement.

### **8.3.2 The CCR Initiation Process**

**8.3.2.1** The CLEC initiator should fill out a CLEC Change Request Form as defined by the instructions on the CMP web site. A copy of the form is also on the CMP web site.

**8.3.2.2** The CLEC CMPOC will submit the CCR Form to the SBC CMPOC and SBC Account Manager via email. Any CCR received within five (5) business days prior to the next Change Management or CMP Prioritization meeting will be included as an agenda item.

**8.3.2.3** The SBC CMPOC will return an email back to the submitter acknowledging the CCR within 48 hours of receipt. A tracking number is assigned and returned on this email associated to the CCR.

**8.3.2.4** The SBC CMPOC internal team will review the submitted CCR for completeness and clarity. If additional information or further clarification is required, the SBC CMPOC will notify the initiating CLEC that a revised CCR is required.

**8.3.2.5** All valid CCRs forms and the CCR Log will be posted on the CMP web site.

### **8.3.3 Prioritization Process**

#### **8.3.3.1 Change Request Discussion**

Once a month, a Change Request Prioritization discussion will be held as part of the CMP meetings in each of the SBC regions. As needed, 13-state CCR Prioritization meetings will be conducted.

**8.3.3.2** All new CCRs are presented by a representative from the submitting CLEC.

#### **8.3.3.3 Prioritization Rating**

All CMPOCs in the Change Request Prioritization meeting will provide a rating representing the importance to their company. The rating should range from 1 to 5, 1 being the highest and 5 being the lowest. Each participating CLEC at the monthly CMP Prioritization meeting is given one vote only. Rating is an average of the ratings provided based on the number of responses.

#### **8.3.3.4 Removal of a CCR**

A CCR may be removed from the CCR Log if all participants in the Change Request Prioritization meeting believe the CCR is a duplicate of an existing CCR.

#### **8.3.3.5 SBC Order of Magnitude Sizing**

The SBC Internal team provides an order of magnitude sizing of the resources required to complete the development and implementation associated with a CCR with a prioritization rating of 2 or higher. This information will be posted to the CCR Log on the web site within 30 days after the Prioritization meeting.

#### **8.3.3.6 Release Management Discussion**

A Release Management discussion will be a scheduled agenda item at the monthly CMP meeting. The Release Management discussion is two fold: to prioritize the CLECs CCR and to review and prioritize the SBC internal CRs. For these discussions, SBC will provide the most current 12-month development view with a summary of all the change requests proposed for that release, including the SBC internal requests. The outcome of this meeting is to create a prioritized 12-month view.

**8.3.3.7** All CLEC CMPOCs should provide a Release Ranking of all CCRs, which have been sized 10 days prior to the Release Packaging meeting. These rankings should be posted to the CMP web site.

**8.3.3.8** ~~SBC agrees that the prioritized 12-month view developed by the CLECs will be considered in the final SBC internal release planning session.~~ I removed in which CLECs may participate, it did not show up as a revision today. Sorry.

**8.3.3.9** The functional requirements for the bundled CCRs will be published for a release per the CMP timelines.

#### **8.3.4 Reporting Related to CCRs**

The SBC CMP Internal Team is responsible for providing accurate and timely information to CLECs regarding CCRs. All CCRs will be shared with the CLEC community via SBC's CMP web sites. The CMPOC will be identified as the originator of the request, unless the CCR is marked Semi-Private/Proprietary.

**8.3.4.1** The following information will be maintained for each CCR on the SBC's regional web sites:

- CCR Tracking Number
- Originating CLEC
- Applicable Interface
- Description of the change
- Status
- Decision date
- Date Received
- Committed response date
- Average Importance Rating
- Order of Magnitude Sizing
- Average Release Ranking

**8.3.4.2** CLECs can provide comments on all CCRs through the Account Manager or SBC's CMPOC. Closed CCR's will be archived on the web.

## **8.4 Modifications to the CMP Document**

As noted in the "Purpose" paragraph of this document, the parties intend for the CMP to be dynamic in nature. Proposed modifications to the CMP document shall be originated by means of discussion at any of the regularly scheduled CMP meetings (regional or 13-State).

**8.4.1** Both the CLECs and SBC may propose modifications to the CMP document and associated processes. Proposed modifications brought up at any of the regional CMP meetings will be forwarded to the Drafting Team (defined in Section 8.4.4 below).

**8.4.2** The Drafting Team will evaluate and if appropriate, will forward the proposed modification to all regional CMP meetings or the 13-State CMP meeting, as appropriate. After the Drafting Team reviews the proposed modification, the CLEC community will be notified of the outcome at the next regional or 13-State CMP meetings, as appropriate.

**8.4.3** If there is consensus, the proposed modification will be incorporated in the document and distributed via Accessible Letter. Such communication will include both a "red-line" copy of the previous CMP document, and a clean version of the new CMP document. Moreover, within seven (7) calendar days of its formal distribution, a copy of the new CMP will be available on SBC's CLEC web site.

### **8.4.4 The Drafting Team**

The Drafting Team consists of representatives from CLECs and SBC who will be responsible for managing the CMP document. The responsibilities of the Drafting Team are:

- On-going commitment
- Participation in 13-State CMP meetings/conference calls
- Reviewing changes/suggestions to CMP
- Process improvements
- Managing 13-State meeting schedule/logistics
- Drafting language and maintaining CMP document
- Managing new CMP business that may require updates to the CMP document

## **8.5 Enforcement of CMP**

### **8.5.1 Effectiveness of CMP**

A standing agenda item at the regular CMP meetings will provide an opportunity for SBC and CLECs to assess the effectiveness of the CMP and the need for any revisions.

Both CLECs and SBC will use this opportunity to provide feedback of instances of non-compliance and commit to taking the appropriate action(s).

**8.5.2** If after using the discussion opportunity of the CMP meetings, there is consensus that the process is no longer working to the mutual benefit of all, the parties will schedule meetings to begin the re-engineering of the process. If there is no consensus, individual parties may approach the appropriate regulatory body.

### **8.5.3 Regulatory or Legal Remedies**

**8.5.3.1** Both CLECs and SBC will work to resolve any issue brought before the CMP. However, this process does not limit any parties rights to seek remedies before regulatory or legal arena.

**8.5.3.2** If parties believe that non-compliance has been blatant and that the proposed solutions offered by the offending party(ies) is (are) unacceptable, both SBC and individual CLECs are free to pursue available legal remedies.

## **9.0 New and Open CMP Business**

The following are current items on which the Drafting Team is working:

- Adding the billing applications/interfaces (not listed in Appendix A) to the CMP
- Adding the Electronic Bonding Interfaces ("EBI") for Trouble Administration (application to application) to the CMP

EXHIBIT 5



## LITE EDIT RULES

### Address validation edit change

#### Business Rules

- If the customer supplies any of the end-user address fields (STREET, CITY, STATE, ZIP CODE), they must supply all 4 of the end user address fields (STREET, CITY, STATE, ZIP CODE). If the customer does NOT supply all four fields, the request should be rejected. The end user address fields of BLDG, ROOM, FLOOR will remain conditional in EDI based on the address content.
- If the customer supplies an end user address there will be no change to current edits performed.
- If the customer does not supply an end user address, the address validation edit (i.e. validating the house number) will not be conducted.
- There will be changes needed to the EDI ordering matrix to make the address fields conditional.
- For resale and CPO, the LOCBAN field value will continue to be required. This field should be used for retrieving the CSR. This is not a change from current procedure.
- For number portability, the PORTED NBR field value will be used for retrieving the CSR. This is not a change from current procedure.
- A new reject reason will be developed and communicated. The reject reason will cover the case when a customer submits one or more, but less than four of the end user address fields (STREET, CITY, STATE, ZIP CODE). Text should identify the error as an incomplete end user address.
- Notification to customer will be provided via Accessible Letter and TCNet documentation.

## EXHIBIT 6

## 865 Transaction

ST<865<000000004

Transaction set identifier code  
signifying that this is a  
provider-initiated change

BCA<06<AE<ZXDTRY0002185<<9001<20000705  
<<<<20000718

REF<11<313G684209

Reference identification  
AII Resale Service Center  
order contact  
Date 865 transaction was sent  
Order date

PER<OC<AIIS Resale Service

Center<TE<8009243666<FX<6162615109

DTM<097<20000718<14320000

DTM<150<20000721<00000000

PID<S<<AS<DDR<<<AMT06<N

N9<L1<CNF

N1<78<TPM

POC<001<RZ<1<0<EA

REF<OW<D1174045052

Service order number  
Order date

DTM<150<20000713<00000000

POC<002<RZ<1<0<EA

REF<OW<D1174045052

Service order number  
Order date

DTM<150<20000713<00000000

POC<003<RZ<1<0<EA

REF<OW<D1174045052

Service order number  
Order date

DTM<150<20000713<00000000

POC<004<RZ<1<0<EA

REF<OW<D1174046629

Service order number  
Order date  
Amendment reason code  
signifying reason for change  
Message text

DTM<150<20000721<00000000

N9<2G<021

MSG<Add Service Order

POC<005<RZ<1<0<EA

REF<OW<D1174046629

Service order number  
Order date

DTM<150<20000721<00000000

POC<006<RZ<1<0<EA

REF<OW<D1174046629

Service order number  
Order date

DTM<150<20000721<00000000

CTT<6

SE<31<000000004

Number of EDI segments  
included in this transaction